

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 31238-200393

First Inventor Shin ISHIBASHI

Title FIBER OPTIC MODULE

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 18]
5. Oath or Declaration [Total Pages 3]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
- 6a. ☒ Priority is claimed under the provisions of 35 U.S.C. § 119  
Appln No. 06-086691 filed in Japan on April 25, 1994  
Appln No. \_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_

**ADDRESS TO:**Commissioner for Patents  
Box Patent Application  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: (a) Transmittal Letter; (b) Supplemental  
Declaration and Power of Attorney; (c) Copy Response of  
January 6, 2000; (d) Copy Assent of Assignee to Reissue; (e)  
Terminal Disclaimer; postcard

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)of prior application No: 09 / 571,334Prior application information: Examiner Akm E. UllahGroup / Art Unit: 2874

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**20. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

26694

PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Name VENABLE

Address P.O. Box 34385

City Washington

State

D.C.

Zip Code

20043-9998

Country U.S.A

Telephone

202-344-4000

Fax

202-344-8300

Name (Print/Type)

Michael A. Satori, Ph.D

Registration No. (Attorney/Agent)

41,289

Signature

Date

January 29, 2004

012904

22763 U.S. PTO

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

Complete if Known

Application Number To Be Assigned

Filing Date January 27, 2004

First Named Inventor Shin ISHIBASHI

Examiner Name To Be Assigned

Group / Art Unit To Be Assigned

Attorney Docket No. 31238-200393

TOTAL AMOUNT OF PAYMENT (\$) 2202

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

22-0261

Deposit  
Account  
Name

VENABLE LLP

☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 770)

### 2. EXTRA CLAIM FEES

Total Claims	47	-20 **	=	27	X	18	=	486
Independent Claims	14	-3 **	=	11	X	86	=	946
Multiple Dependent					X		=	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2204	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 1432)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2215	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2010	2255	1005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	25403	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1808	180	1808	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

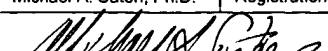
SUBTOTAL (3)

(\$ 0)

The PTO did not receive the following listed item(s) ~~2202, 2203, 2204, 2205~~ check PTO receive check 22002

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Michael A. Satori, Ph.D.	Registration No. Attorney/Agent)	41,289	Telephone	(202) 344-4000
Signature		Date	January 29, 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  
SEND TO: Commissioner for Patents, Mail Stop Patent Application, Alexandria, VA 22313-1450.

**VENABLE**  
ATTORNEYS AT LAW

PC Docs No. 518205

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Art Unit : To Be Assigned  
Examiner: To Be Assigned

In re PATENT APPLICATION of

Applicants : Shin ISHIBASHI et al.  
Appln. No.: To Be Assigned  
Continuation of 09/971,334  
Filed : January 29, 2004  
For : FIBER OPTIC MODULE  
Atty. Dkt. : 31238-200393  
Customer Number: 26694

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January 29, 2004

Mail Stop Reissue  
Commissioner for Patents  
PO Box 1450  
Arlington, Va 22313-1450

Sir:

1. For purposes of filing a continuation under 37 C.F.R. 1.53(b) of the above-referenced application, please find attached hereto:

- (a) Copies of the specification, claims, and abstract as originally filed in the parent application (28 pages);
- (b) Copies of the drawings as originally filed in the parent application (18 sheets, Figures 1-23)
- (c) A copy of the inventors' Declaration and Power of Attorney (pages 1-4) as originally filed in the application
- (d) A copy of a Supplemental Declaration and Power of Attorney (pages 1-4)


2. Also attached is a Preliminary Amendment

3. A filing fee of \$2002.00 is enclosed (See fee calculation sheet). Should this

remittance be insufficient or missing, please charge the required fee, or credit any overpayment, to our Deposit Account number 22-0261.

4. Also attached is an Information Disclosure Statement with PTO Form 1449 (11 sheets).
5. A paper entitled "ASSENT OF ASSIGNEE TO REISSUE" was filed in the parent application on June 1, 1998. A copy is attached. As stated in this document, ownership of Patent No. 5,596,663 is established by the Assignment recorded in the United States Patent and Trademark Office on January 12, 1995, at Reel 7311, Frame 0748.
6. Furthermore, Patent 5,596,663 was attached to a paper entitled "RESPONSE" that was filed in the parent application on January 6, 2000, in order to surrender the patent. A copy is likewise attached.
7. The benefit of priority of Application No. 06/086,691, filed on April 25, 1994, in Japan, is claimed under 35 U.S.C. § 119. A certified copy of the priority application was filed in U.S. Patent No. 08/372,078.
8. This application is a continuation of application number 09/571,334, filed on May 15, 2000, which is a continuation of application number 09/087,857, which was filed on June 1, 1998 to seek reissue of U.S. Patent 5,596,663. The benefit of priority to these applications is claimed under 35 USC § 120.
9. This application was formerly assigned to Art Unit 2874 and Examiner Akm E. Ullah.

Respectfully submitted,

  
Michael A. Sartori, Ph.D.

Registration No. 41,289

VENABLE LLP

P.O. Box 34385

Washington, D.C. 20043-9998

Telephone: (202) 344-4000

Telefax : (202) 344-8300

MAS/KBL  
517106